

CHAPTER 4

CORRESPONDENCE AND FILES

Correspondence and files are important parts of the PN's job. In this chapter, you will learn about the following areas:

- Ž Letters, endorsements, memorandums, and the serialization of correspondence
- Ž Correspondence procedures and logs
- Ž Responsibilities of individuals who handle classified and unclassified correspondence
- Ž Mail handling by mail clerks or mail orderlies, the training of mail orderlies, and the security of mail
- Ž Routine reply, endorsements, and transmittals
- Ž Directives, messages, and muster reports
- Ž Case file establishment and maintenance

LETTERS, ENDORSEMENTS, AND MEMORANDUMS

In this part of the chapter, you will read about the standard letters, multiple-address letters, purpose of the endorsement to a letter, and business letters. Here, you will discover the purpose of memorandums and the requirement for the serialization of correspondence.

You should always refer to the *Department of the Navy Correspondence Manual*, SECNAVINST 5216.5, whenever you are tasked with the preparation of letters, endorsements, and memorandums.

STANDARD LETTER

The standard letter is used by a command to correspond officially with activities in the Department of Defense (DOD). The letter is also used to communicate with organizations outside the DOD if they have adopted the format. Outside users include the Coast Guard and some contractors who deal with the Navy and Marine Corps. Refer to SECNAVINST 5216.5 to view a sample standard letter.

MULTIPLE-ADDRESS LETTER

Multiple-address letters are used when there is more than one action addressee. Except in its handling of addressees, the multiple-address letter is the same as the standard letter. Refer to SECNAVINST 5216.5 to view a sample multiple-address letter.

ENDORSEMENTS

If a command receives a letter as a via addressee, an endorsement is prepared rather than another letter. To respond, you should use either a same-page endorsement or a new-page endorsement. Refer to SECNAVINST 5216.5 to view sample endorsements. Normally, endorsements follow standard-letter practice. Make sure you keep an endorsement with the basic letter. One is an integral part of the other.

Many endorsements simply forward letters without substantive comment to the next via addressee, if any, or to the action addressee. But other possibilities exist. An endorsement may comment on the basic letter or any earlier endorsements. It may alter the order of any remaining via addressees or add others. By the use of the endorsement, a command may also return the basic letter with a final reply or a request for additional information.

BUSINESS LETTER

The business letter is used to correspond with agencies or individuals outside the Department of the Navy (DON) who are unfamiliar with the standard letter. The business letter is also used for official correspondence between individuals within the DON when the occasion calls for a personal approach. Refer to SECNAVINST 5216.5 to view a sample business letter.

MEMORANDUM

A memorandum provides an informal way to correspond within an activity or between several activities. Subordinates use it to correspond directly with each other on routine business.

A memorandum cannot be used by a command to issue directives. Refer to SECNAVINST 5216.5 to view sample memorandums.

SERIALIZATION OF CORRESPONDENCE

Serialization of a command's outgoing correspondence depends on local practice and volume. Activities that produce little correspondence, all of it unclassified, probably do not need serial numbers. The added control must be weighed against the added complications of typing or stamping serial numbers. An activity that uses serial numbers starts a new sequence of numbers at the start of each new calendar year and assigns numbers consecutively.

All classified correspondence created by your activity must be given a serial number. The serial number must be preceded by a classification abbreviation (C, S, T) depending on the classification of correspondence. **C** signifies Confidential, **S** signifies Secret, and **T** signifies Top Secret. Also, serial numbers used for classified correspondence should be kept separate from unclassified serial numbers.

CORRESPONDENCE PROCEDURES

When you hear the word *correspondence*, you usually think about letters. But correspondence involves more than just preparing letters. It involves actual handling of all correspondence, mailing correspondence, receipt of correspondence from other commands or activities, and classification of correspondence. In the following paragraphs, you will learn about handling correspondence according to section 620.5 of the *Standard Organization and Regulations of the U.S. Navy*, OPNAWNST 3120.32.

As you read, you will realize that the security and accountability of correspondence is very important, whether you handle classified or unclassified correspondence. You may or may not be authorized to handle certain types of classified correspondence. Handling such correspondence depends on the duties and responsibilities you will be assigned at your duty station.

As you continue to read, you will find a discussion of the different logs that are maintained to keep track of certain types of correspondence. Also discussed are some of your responsibilities when handling such correspondence.

Aboard ship, the captain's office controls incoming and outgoing correspondence. The security manager (SM) is responsible for making sure that correct procedures for handling classified correspondence are followed as per the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1. All incoming correspondence should have either a routing slip or a Correspondence/Material Control Form, PPNAV 5216/10, attached. A blank sample of an OPNAV Form 5216/10 is shown in figure 4-1.

Officers who receive internally routed correspondence should read it, take whatever action is required, initial it, and return it to the controlling point. Original routed copies of all incoming correspondence are maintained in the captain's office.

RECORDS

The following paragraphs contain a discussion of the following records when handling correspondence according to OPNAVINST 3120.32: guard mail petty officer's log, firm mail book for registered and certified mail, and the outgoing mail log.

Guard Mail Petty Officer's Log

The guard mail petty officer's (GMPO) log is a record of all incoming registered U.S. and guard mail and all outgoing registered guard mail transported to and from your command and guard mail centers of post offices by your command's GMPO.

The purpose of this log is to record accountability for outgoing registered guard mail and all incoming registered U.S. and guard mail. The GMPO log is divided into an incoming and an outgoing section, and it should contain the following information about each piece of incoming registered or certified U.S. or guard mail and each piece of outgoing registered guard mail:

- Ž Registered/certified number
- Ž Originating command
- Ž Addressee
- Ž Unit or office to which delivered
- Ž Date and time of delivery
- Ž Signature of person to whom delivered

PS Form 3877, Feb 1982 FOR REGISTERED, INSURED, C. O. D., CERTIFIED, AND EXPRESS MAIL

NAME AND ADDRESS OF SENDER		Indicate type of mail <input type="checkbox"/> Registered <input type="checkbox"/> Insured <input type="checkbox"/> COD <input type="checkbox"/> Certified <input type="checkbox"/> Express Mail		Check appropriate block for Registered Mail <input type="checkbox"/> With Postal Insurance <input type="checkbox"/> Without Postal Insurance			Affix stamp here if issued as certificate of mailing or for additional copies of this bill POSTMARK AND DATE OF RECEIPT					
Line	Number of Article	Name of Addressee, Street, and Post Office Address	Postage	Fee	Handling Charges	Act. Value (If Regis.)	Insured Value	Due Sender If COD	R. R. Fee	S. D. Fee	S. H. Fee	Rest. Del. Fee Remarks
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
Total Number of Pieces Listed by Sender		Total Number of Pieces Received at Post Office	POSTMASTER, PER (Name of receiving employee)		The full declaration of value is required on all domestic and international registered mail. The maximum indemnity payable for nonnegotiable documents under Express Mail documentation reconstruction insurance is \$50,000 per piece subject to a limit of \$500,000 per occurrence. The maximum indemnity payable on Express Mail merchandise insurance is \$500. The maximum indemnity payable is \$25,000 for Registered Mail, \$400 for cod and \$400 for Insured Mail. Special handling charges apply only to Third- and Fourth-Class parcels. Special delivery service also includes special handling service.							

FORM MUST BE COMPLETED BY TYPEWRITER, INK OR BALL POINT PEN

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Figure 4-2.—Postal Service (PS) Form 3877.

loose-leaf binder, a file folder, or a two-post clipboard. These logs consist of the second carbon copy of the Correspondence/Material Control Form, OPNAV 5216/10. Control forms are filed numerically by activity control number (ACN).

Outgoing Mail Log

An outgoing mail log is maintained for material transmitted via certified or registered mail (including registered guard mail and Confidential or unclassified material when sent via certified/registered mail). This log is maintained by one of your command's Yeomen and should contain the following information on each piece of mail that is dispatched:

- Registry/certified number
- Contents
- Addressee
- Signature of person preparing item for mailing
- Date and time of delivery to GMPO
- Signature of GMPO to whom delivered

The purpose of the outgoing mail log is to have a chronological record of all outgoing material from the command whether the material is sent via registered or certified mail. Top Secret material is transmitted by the Defense Courier Service (DCS) and other authorized individuals as specified in chapter 15 of *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1.

RECEIPT PROCEDURES

Normally, designated YNs or PNs receive all incoming mail except Top Secret. All of the commanding officer's mail should be opened upon receipt, and a quick check made for correspondent that deserves immediate attention. When registered mail is received at your command, log receipt of this mail in the GMPO log.

When the designated YN or PN has opened the incoming mail and determined that it is unclassified, he/she must sort it into two categories—routing without a route slip or routing with OPNAV Form 5216/10.

Unclassified Correspondence

For unclassified mail not requiring control, a rubber stamp (fig. 4-3) with check boxes is used for routing.

USS	(SSBN)	
	KEY	INIT
CO		
XO		
NAV		
OPS		
COMM		
WEAP		
1ST LT		
ENG		
MPA		
DCA		
E/RC		
SUP		
MED		
CMAA		
YN		
DATE		
DESTROY	FILE:	

42NP0044

Figure 4-3.—Sample routing stamp.

Thus, the correspondence itself bears a complete record of individuals who have to see it.

Most commands have their own routing stamp. This stamp shows a command's internal departmental structure and is similar to the one shown in figure 4-3.

Control Mail

Mail to be controlled is routed using the OPNAV Form 5216/10 (fig. 4-1). Mail to be controlled may consist of unclassified mail that requires action, mail of historical importance to the command, and mail that has future reference value.

Confidential and Secret Correspondence

Confidential correspondence may be divided into two categories:

1. Noncontrolled Confidential mail, which provides general information and does not require a reply and for which routing is accomplished by the use of a rubber stamp.
2. Controlled Confidential mail, which requires action, has historical importance, or future reference value.

When the command's designated YN or PN determines that incoming mail is Secret or controlled Confidential, he/she should prepare OPNAV Form 5216/10.

Classified material is also received via supply channels. The supply department and any departmental Yeoman or spare parts petty officer receiving any classified material directly must be informed that he/she must deliver it to the appropriate command's designated YN or PN for processing.

Top Secret Correspondence

Top Secret correspondence is handled by the SM, or if one is designated, the Top Secret control officer (TSCO). He/she assigns an ACN to each piece of incoming Top Secret correspondence and enters this number in the DCS log. This log is a part of the continuous chain of receipts system and is similar to the GMPO log.

ROUTING AND FILING OF CORRESPONDENCE

The following sections contain a discussion about routing and filing Unclassified, Secret, Confidential, and Top Secret correspondence.

Unclassified Correspondence

The ship's secretary routes correspondence by indicating the individuals responsible for action, information, and permanent retention. He/she designates a department head as the action officer for lead on all action correspondence and instructs the junior YNs or PNs on internal routing procedures.

Any individual who wants to either permanently or temporarily retain mail must indicate this intention on the correspondence. If a copy of the correspondence is desired for routing within a department or for other reasons, this also must be indicated. On completion of routing, correspondence is delivered to the ship's secretary, who monitors the actions required for filing, or disposition of the correspondence.

Unclassified correspondence is normally filed in the command's unclassified files. If desired, filing may be indicated by circling the file number on the incoming mail log control form.

On completion of routing, the original control form is normally filed in the command's files with the correspondence and the command's file copy of any

reply required. If the document is retained by a department head, his/her custodial assumption must be indicated on the original OPNAV Form 5216/10. One flimsy is retained by the department head as the control sheet for his/her record, and the original is returned to the command's administrative office, attached to an 8-by 10-inch sheet of paper, and filed in the command's subject files.

Secret and Confidential Correspondence

The command's individuals authorized to handle Secret and Confidential correspondence must follow the same procedures as detailed for unclassified correspondence. The following rules apply to Secret and Confidential correspondence:

Ž Secret and Confidential correspondence must be properly safeguarded while in routing.

Ž Normally, Secret and Confidential correspondence is filed in the command's classified files. Circle the file number on the incoming mail log control form to indicate the need for filing.

Ž Secret and Confidential material may only be reproduced when specifically approved by designated officials. This correspondence may be reproduced only on equipment designated for reproduction of classified material.

Ž Upon completion of routing, file the original control form in the command's files with the correspondence and the command's file copy of any reply required. If the document is retained by a department head, his/her custodial assumption must be indicated on the original OPNAV 5216/10 (in the appropriate block and dated). The department head should retain one flimsy as the control sheet for his/her record. The original is returned to the administrative officer and filed in the command's subject files.

Ž Classified material must be handled according to the guidelines contained in OPNAVINST 5510.1.

- Classified material must be under constant surveillance by appropriate cleared personnel when outside of the safes.

Top Secret Correspondence

The TSCO informs the commanding officer and executive officer when Top Secret material is received on board. The TSCO prepares the OPNAV Form 5216/10 and the Record of Disclosure, OPNAV Form

properly cleared personnel only on a *need-to-know* basis. Personnel authorized to handle Top Secret correspondence must always use extreme care to prevent unauthorized or inadvertent access to it.

At times, an officer maybe required to retain a Top Secret document. Custodial assumption must be indicated by dating and signing in the Receipt Signature block opposite his/her routing code, which is under the section Control Center Primary Routing on the original OPNAV Form 5216/10. Then, the original form is returned to the TSCO as appropriate. The officer

Figure 4-4.—Record of Disclosure, OPNAV Form 5511/13.

retains the routed flimsy control form and disclosure sheet for his/her records and control of the correspondence.

The TSCO then files the original control form by holder and ACN sequence. In this manner the TSCO has an up-to-date record of all Top Secret material held by individuals within the command.

The TSCO annotates the flimsy of the OPNAV Form 5216/10 in the incoming Top Secret log as to the disposition of the correspondent.

Top Secret material must be handled according to OPNAVINST 5510.1. It must be under constant surveillance by authorized and properly cleared personnel when outside the safes. A continuous chain of receipts must be maintained.

Responsibilities

Department heads are responsible for classified material that enters their department's mail system for internal routing or for permanent retention. All

officers should review unclassified mail routing at least once each working day. When an officer has been designated *for information* on the routing stamp, he/she should read the correspondence and initial the appropriate section of the routing stamp. If an officer's action is required on a particular piece of correspondence, he/she is responsible for taking action before the date indicated. An officer who is designated to retain correspondence may remove the correspondent when all other routing is completed following the prescribed procedures as outlined for retention of classified documents and return of control sheet originals.

CROSS-REFERENCE LOCATOR SHEETS

The spread of classified material through indiscriminate distribution or copy reproduction is a constant source of difficulty. When classified material is indiscriminately reproduced, accounting is enlarged or circumvented and updating generally fails. A cross-reference locator sheet (fig. 4-5) should be kept

USS _____ (SSBN _____)	
OFFICIAL CORRESPONDENCE CROSS REFERENCE LOCATOR SHEET	
A. CORRESPONDENCE OR DIRECTIVE:	ACTIVITY CONTROL NUMBER _____
Classification: <u>TS/S/C/U</u>	
Originator: _____	
Serial & Date or INST/NOTE No. _____	
Subject: _____	
B. LOCATOR:	
Subject correspondence or directive will be maintained by:	
<u> </u> TITLE	<u> </u> SIGNATURE
Location: _____	
Relocation authorized by:	
<u> </u> (XO SIGNATURE)	<u> </u> (DATE)
C. REMARKS:	
_____ _____ _____	
D. INSTRUCTIONS:	
1. Official correspondence cross-reference sheets will be used as file copies of original correspondence removed from its central location to some other place such as an operations folder, training record, and so forth. It will be used whenever official correspondence or directives are filed in some other than its normal location and may be used for temporary removals if desired.	
2. Correspondence removed from its normal location will be maintained by the person listed by title in B above.	
3. Only the executive officer may authorize the removal of official correspondence from normal files on other than a strictly temporary basis.	
42NP0045	

Figure 4-5.—Cross-reference locator sheet.

in the command's master file system in lieu of maintaining an extra copy of material. Keeping a cross-reference locator sheet ensures that when later or revised material is received, the material is not automatically filed. Instead, it is routed to the user (department head, division officer, and so forth) so that the individual will have the most current information on which to base his/her actions.

PROCEDURES AND RESPONSIBILITIES FOR OUTGOING CORRESPONDENCE

Action on correspondence must be completed on each piece of action correspondence on or before the day indicated by the ship's secretary, or as directed by the executive officer. To make sure that appropriate action is complied with, your command's administrative office should have a tickler file to track actions required and to remind individuals responsible for responding to incoming correspondence that action is necessary. If the action cannot be completed for some unavoidable reason, the ship's secretary must be informed by the individual responsible for drafting the response to the correspondence. This way, the ship's secretary will be able to notify the executive officer about the delay.

If there is an unavoidable delay in answering action mail, the responsible individual drafts a letter or message of acknowledgement, depending on the urgency of the required response, explaining the reason for the delay.

Individuals responsible for responding to correspondence should prepare outgoing correspondence, including reports, in a double-spaced, type-written "rough" format. They must indicate the appropriate security classification and downgrading declassification category, if appropriate. Roughs are delivered to the executive officer via the local chain of command for review and eventual delivery of the smooth correspondence to the commanding officer for signature.

MAIL HANDLING BY MAIL CLERKS AND MAIL ORDERLIES

Earlier, you read about correspondence procedures according to OPNAVINST 3120.32. Different records maintained by administrative offices to control the receipt and delivery of official mail, and the responsibilities specific individuals have when handling classified and unclassified correspondence were discussed.

Whether or not you will actually handle classified correspondence is determined by your command. However, you must be aware of the importance of safeguarding classified and, in some instances, unclassified controlled correspondence from unauthorized personnel.

This section contains a discussion of mail handling by mail clerks and mail orderlies. As a PN3 or PN2, you will be tasked with being the mail clerk or mail orderly. As such, handling mail will be a part of your daily duties and responsibilities.

Traditionally, the U.S. Navy has used the term *mail orderly* not *mail clerk* as used by the other services. For the purpose of this training manual, the terms *mail clerk* and *Navy mail orderly* are synonymous. Therefore, as a mail orderly you also have the responsibilities as those of a mail clerk. The responsibilities of both mail clerks and mail orderlies are separately discussed.

Personnel designated as mail orderlies in the U.S. Navy must comply with the provisions of volume 2 of the *Department of Defense Postal Manual*, DOD 4525.6-M, relating to both mail clerks and mail orderlies.

MAIL CLERKS' RESPONSIBILITIES

According to chapter 3, volume 2, of DOD 4525.6-M, mail clerks are responsible for the following:

- Providing mail service and operating the postal service center (PSC) or unit mailroom (UMR) under current regulations.
- Safeguarding mail at all times.
- Maintaining an up-to-date mail directory file of all personnel being served, scheduled to arrive, and those that have been transferred during the last 6 months (3 months for personnel who were on temporary duty, a projected gain who has been canceled, or trainees stationed less than 6 months at a training base).
- Performing prompt directory Service on all undeliverable mail and expeditiously returning it to the serving post office no later than the following workday after receipt.
- Delivering accountable mail and properly maintaining accountable mail records.
- Correcting all discrepancies noted on mailroom inspections as soon as possible.

- Reporting known or suspected postal offenses to the unit postal officer or commanding officer immediately.

As you can see, the responsibilities of a mail clerk are many. Make sure you become familiar with all of them because you will be assigned to perform these functions at one time or another during your career as a mail orderly.

MAIL ORDERLIES' RESPONSIBILITIES

According to chapter 3, volume 2, of DOD 4525.6-M, mail orderlies are responsible for the following:

- Picking up mail at times specified.
- Safeguarding mail at all times.
- Delivering personal mail only to the actual addressee. A mail order] y must deliver official mail only to individuals authorized by the commanding officer.
- Placing undeliverable mail in a designated, securely locked container. If undeliverable mail cannot be secured properly, return the mail daily to the UMR or the post office as applicable. If returned to the command's post office, give reason for nondelivery; for example, temporary duty, leave, or absent without leave (AWOL).
- Reporting any known or suspected postal offenses and irregularities to the command's postal officer or commanding officer.

QUALIFICATIONS OF MAIL CLERKS AND MAIL ORDERLIES

All personnel performing mail handling duties in other than a section of a military post office (MPO) must be designated as a command's mail clerk or command's mail orderly. Mail orderlies must meet the following qualifications:

- Be a U.S. citizen and be eligible for a Secret clearance (an Entrance National Agency Check [ENTNAC] or National Agency Check [NAC] is on file) if required to handle registered mail.
- Have no record of the following:
 1. Conviction by court-martial.
 2. Punishment under Article 15 (Title 10, U.S.C., Chapter 47, The Uniform Code of Military

Justice [UCMJ], reference [b]) involving a postal-related incident in the last 12 months.

3. Civil convictions other than minor traffic violations.

- Have no record of derogatory information or unfavorable conduct casting doubt of the individual's trustworthiness and integrity.

- Be evaluated as not having a psychiatric, alcoholic, or drug abuse condition based on a review of personnel and medical records.

- Has not been relieved of postal duties for cause.

Non-Department of Defense (DOD) agencies that receive mail through military postal activities designate command mail clerks on DD Form 285 (fig. 4-6), which is provided by the serving military postal activity. Mail clerks appointed by these agencies must meet the specifications established by the appointing agency.

Foreign nationals may be appointed as command mail clerks or mail orderlies provided the requirements of paragraphs 302.1.c or 302.2 of DOD 4525.6-M are complied with. Foreign nationals appointed as command mail clerks or mail orderlies cannot be authorized to purchase stamps or money orders for command's personnel unless the foreign national is an authorized user of the military postal service (MPS). Refer to paragraph 308 of DOD 4525.6-M.

REVOKED DATE PLACED ON UNIT COPY WHEN MAIL ORDERLY IS RELIEVED

APPOINTMENT OF MILITARY POSTAL CLERK, UNIT MAIL CLERK, OR MAIL ORDERLY <small>(See Instructions on Reverse)</small>		1. DATE EFFECTIVE 10/10/94	2. DATE REVOKED
3. NAME OF APPOINTEE <i>(Last, First, Middle Initial)</i> Doe, John R.			
4. NAME OR GRADE AC3	5. SSN 123456789	6. TITLE OF APPOINTEE Mail Orderly	
7. ORGANIZATION/ACTIVITY SUPPLY, BOX 33		8. APO, MPO, OR COMUS INSTALLATION FPO 09619	
9. MAIL AUTHORIZED TO RECEIVE <small>(Check and Initial)</small>		10. THIS FORM MUST BE VALIDATED BY THE SERVING AGENCY'S GENERAL PURPOSE DATING STAMP PRIOR TO CLEW RECEIVING MAIL. IN THE CASE OF THE NAVY MOBILE UNITS, VALIDATION MAY BE BY IMPRESSION OF THE UNITS OFFICIAL SEAL.	
PERSONAL <input type="checkbox"/> OFFICIAL <input type="checkbox"/> <small>(Except Accounts)</small>			
PERSONAL <input type="checkbox"/> OFFICIAL <input type="checkbox"/> <small>(Except Accounts)</small>			
OFFICIAL <input type="checkbox"/> OFFICIAL <input type="checkbox"/> <small>(POUCHES ONLY)</small>			
SIGNATURE OF APPOINTING OFFICIAL <i>Paul L. Beach</i>		SIGNATURE OF APPOINTEE <i>John R. Doe</i>	

INITIALS OF VALIDATING OFFICIAL AND DATE IF ACTIVITY DOES NOT POSSESS AN ALL PURPOSE DATE STAMP OR SEAL
 86NP0142

Figure 4-6.—Appointment of Military Postal Clerk, Unit Mail Clerk or Mail Orderly, DD Form 285.

DESIGNATION OF MAIL CLERKS AND MAIL ORDERLIES

Commanding officers or their designated representatives must designate command mail clerks. Mail orderlies may be designated by responsible officials for those offices and activities requiring mail orderly service. Designations must be accomplished using DD Form 285 before personnel assume mail-handling duties. The number of designated mail clerks or mail orderlies and alternates should be held to a minimum, consistent with the requirement to handle mail efficiently and effectively. A command should designate a minimum of one primary and one alternate mail orderly.

TRAINING REQUIREMENTS

Before entering into mail-handling duties, all selected personnel must be instructed in the proper performance of these duties.

Upon designation, command mail clerks and command mail orderlies must complete mail service training. This required training should emphasize the importance of safeguarding mail, handling of accountable mail, timely delivery, and the serious consequences of negligence of duty. Training is accomplished through proficiency training programs and locally-developed training courses or instructions.

SECURITY OF MAIL

The loss of mail, delivery of mail, overnight storage, transporting mail, and privileged nature of mail, all of which relate to the security of U.S. mail, is discussed in this section.

Loss of Mail

If you are designated as a mail clerk or mail orderly, you may be held liable for any loss caused by your failure to handle mail properly. Mail-handling areas and all receptacles for accountable mail must be locked when you are not physically present.

Delivery of Mail

You should deliver mail only to authorized addressees, agents named in writing by addressees, or the serving postal activity. Mail may not be delayed, intercepted, opened, rifled, or left unattended when not in an authorized secure area. You may not remove stamps from mail entrusted to you.

Overnight Storage

UMRs that store official registered mail overnight must have an approved security container that meets the requirements for storing Secret material.

Transporting Mail

A closed-body vehicle equipped with lockable doors must be used to transport mail to and from mail service areas. When a closed-body vehicle is unavailable and another kind is used, you as a mail clerk or mail orderly, must ride in the compartment that holds the mail (if practical). If conditions prohibit you from riding in the compartment with the mail, maintain visual contact with the mail at all times. Mail being transported in other than closed-body vehicles must always be protected from the elements (inclement weather).

Privately owned vehicles may not be used to transport mail. If an emergency situation occurs requiring a privately owned vehicle to be used on a temporary basis, its use must be requested by the unit commander and approved by the serving postal activity.

Privileged Nature of Mail and Postal Records

The privacy of the mail may not be violated. You, as mail clerk or mail orderly, may not break or permit the breaking of the seal of any mail matter. Additionally, information regarding mail or postal records can be released only under certain circumstances. You should contact the serving post office for assistance if any of the following situations applies:

- You are requested to provide a mail cover.
- An examination, search, or seizure of mail or postal records is attempted or requested. (Notification of examination of records in compliance with inspection requirements outlined in paragraph 307 of DOD 4525.6-M is not required.)
- Authorities request a controlled delivery of mail.
- Damage, destruction, or forced entry occurs to the mailroom or postal service center.
- Mail in the UMR or postal service center is suspected of contacting dangerous material.
- You are requested to release postal records that include names and addresses of personnel served.

You should not delay reporting this to the post office. Remember, however, if any of these situations occur, inform your command first.

So far, you have read about mail clerks and mail orderlies. Now, let's turn to other subjects-routine reply, endorsement, transmittal or information sheets; directives; messages and muster reports; case file establishment and maintenance.

ROUTINE REPLY, ENDORSEMENT, TRANSMITTAL OR INFORMATION SHEET

The preparation of routine reply, endorsement, transmittal, or information sheets (fig. 4-7) is self-explanatory. Always use these sheets whenever you forward service records to other commands. Make sure you enclose an extra copy of the form and a self-addressed envelope so the receiving command may acknowledge receipt of the records.

ROUTINE REPLY, ENDORSEMENT, TRANSMITTAL OR INFORMATION SHEET OPNAV 5216/158 (Rev. 7-78) SH 0107 LF 082-1001		CLASSIFICATION (UNCLASSIFIED when detached from enclosures, unless otherwise indicated)
FROM (Show telephone number in addition to address)		DATE
SUBJECT		SERIAL OR FILE NO.
TO:		REFERENCE
		ENCLOSURE
VIA	ENDORSEMENT ON	
<input type="checkbox"/> FORWARDED <input type="checkbox"/> RETURNED <input type="checkbox"/> FOLLOW-UP, OR TRACER <input type="checkbox"/> REQUEST <input type="checkbox"/> SUBMIT <input type="checkbox"/> CERTIFY <input type="checkbox"/> MAIL <input type="checkbox"/> FILE		
GENERAL ADMINISTRATION FOR APPROPRIATE ACTION UNDER YOUR COGNIZANCE INFORMATION APPROVAL RECOMMENDED <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED COMMENT AND/OR CONCURRENCE CONCUR LOANED, RETURN BY: SIGN RECEIPT & RETURN REPLY TO THE ABOVE BY REFERENCE NOT RECEIVED SUBJECT DOCUMENT FORWARDED TO SUBJECT DOCUMENT RETURNED FOR SUBJECT DOCUMENT HAS BEEN REQUESTED, AND WILL BE FORWARDED WHEN RECEIVED COPY OF THIS CORRESPONDENCE WITH YOUR REPLY ENCLOSURE NOT RECEIVED ENCLOSURE FORWARDED AS REQUESTED ENCLOSURE RETURNED FOR CORRECTION AS INDICATED CORRECTED ENCLOSURE AS REQUESTED REMOVE FROM DISTRIBUTION LIST REDUCE DISTRIBUTION AMOUNT TO		CONTRACT ADMINISTRATION NAME & LOCATION OF SUPPLIER OF SUBJECT ITEMS SUBCONTRACT NO. OF SUBJECT ITEM APPROPRIATION SYMBOL, SUBHEAD, AND CHARGEABLE ACTIVITY SHIPPING AT GOVERNMENT EXPENSE <input type="checkbox"/> YES <input type="checkbox"/> NO A CERTIFICATE, VICE BILL OF LADING COPIES OF CHANGE ORDERS, AMENDMENT OR MODIFICATION CHANGE NOTICE TO SUPPLIER STATUS OF MATERIAL ON PURCHASE DOCUMENT REMARKS (If available, use pre-printed)
		PERSONNEL REPORTED TO THIS COMMAND DETACHED FROM THIS COMMAND OTHER
SIGNATURE & TITLE		
COPY TO:		CLASSIFICATION (UNCLASSIFIED when detached from enclosures, unless otherwise indicated)

86NP0143

Figure 4-7.—Routine Reply, Endorsement, Transmittal or Information Sheet, OPNAV Form 5216/158.

There are many other occasions when the use of this form is appropriate. Refer to the middle section of the form in figure 4-7 that shows you the different occasions. When you use this form, make sure you keep a copy of the form for your activity file as a tickler file or for future reference.

DIRECTIVES

In this section, you will learn about instructions; notices; making changes to, filing, reviewing, routing, inventorying, and preparing directives. A directive is an instruction, notice, or change transmittal that prescribes or establishes policy, organization, conduct, methods, or procedures. Directives require action or contain information essential to the effective administration or operation of naval activities or contain authority or information that must be published formally.

INSTRUCTIONS

Instructions are directives that contain authority or information of continuing reference value or requiring continuing action. Instructions remain in effect until superseded or canceled by the originator or higher authority. Figure 4-8 shows a sample of the front page of an instruction.

NOTICES

Notices (fig. 4-9) are directives of a one-time or brief nature that have a self-canceling provision. They have the same force and effect as instructions. Notices usually remain in effect for less than 6 months, but they cannot remain in effect for longer than 1 year. Any requirements for continuing action contained in notices, such as the submission of reports, use of forms, or following specified procedures, are considered to be canceled when the notices are canceled. Requirements may be incorporated into another suitable document, thereby continuing their validity.

MAKING CHANGES TO DIRECTIVES

Your command often receives changes to instructions, notices, and manuals. Usually, additional or replacement pages are received. However, there are occasions when your command is instructed to make pen-and-ink changes. Replacement pages are considered to be more economical. They provide neater, more legible copies, and decrease the chance for

errors because of the time expended by recipients in making changes.

If you are responsible for making changes to instructions and notices, make sure you make the changes as soon as the changes are received whether they are page changes or pen-and-ink changes. Making changes as they are received ensures that your instructions, notices, and manuals are up to date. In the case of manuals, make sure you verify the list that contains the effective pages to make sure they are all accounted for. Obtain copies from other commands, if necessary, to replace obsolete or unaccounted for pages.

It does not do the command any good to have the instructions, notices, or manuals filed very neatly in brand new binders if they are not up to date. Instructions, notices, and manuals are used daily to make decisions that affect individuals' careers. Therefore, it is imperative that they are up to date.

FILING ARRANGEMENTS

The following paragraphs contain a discussion on the filing arrangement of instructions, notices, cross-reference sheets, directives in general correspondence files, and manuals.

Filing Instructions

Normally, instructions are filed according to subject identification number, consecutive number, and issuing authority. Checklists of directives issued by Washington headquarters organizations must be organized in this manner. If local conditions require, however, another sequence may be followed, such as by issuing authority, a combination of subject identification number and issuing authority, or security classification.

Filing Notices

Notices ordinarily need not be filed in the master file because of their brief duration. If it is necessary to temporarily interfile them with instructions, the notices should be tabbed so that each may be easily and properly removed as soon as their cancellation dates are reached. Copies may be filed in separate suspense binders when necessary.

Filing Cross-Reference Sheets

Cross-reference sheets must be interfiled with instructions. Locator sheets are inserted in normal

DEPARTMENT OF THE NAVY
Office of the Chief of Naval Operations
Washington, DC 20350-2000

OPNAVINST 1000.23B
Pers-331
30 August 1993

OPNAV INSTRUCTION 1000.23B

From: Chief of Naval Operations
To: All Ships and Stations (less Marine Corps field addressees not having Navy personnel attached)

Subj: PAY/PERSONNEL ADMINISTRATIVE SUPPORT SYSTEM (PASS) MANAGEMENT MANUAL (PASSMAN)

invited for the improvement of content, format, or any other aspect of the manual. Comments and/or changes, including any recommended changes to existing publications, should be addressed to PASS Program Manager (Pers-331).

6. **Forms.** The forms referenced in this manual are listed in appendix D.

1. **Purpose.** To issue policies, procedures, and guidance for the administration of military pay, personnel, and Navy-sponsored passenger transportation functions for Navy activities supported by the Pay/Personnel Administrative Support System (PASS).

R. J. ZLATOPER
 Deputy Chief of Naval Operations
 (Manpower & Personnel)

Distribution:
SNDL Parts 1 and 2

2. **Cancellation.** OPNAVINST 1000.23A.

Chief of Naval Operations
 (Code N09B34)
 Navy Department
 Washington DC 20350-2000 (150 copies)

3. **Scope of Revision.** This manual has been revised in its entirety and should be completely reviewed.

SECNAV/OPNAV Directions Control Office
 Washington Navy Yard Building 200
 901 M Street SE
 Washington DC 20374-5074 (25 copies)

4. **Action.** The administration of military pay, personnel and passenger transportation functions within the scope of PASS shall be in accordance with the guidelines set forth in this instruction. The Deputy Chief of Naval Operations for Manpower and Personnel (DCNO (MP)) (N1) and/or the Comptroller of the Navy (NAVCOMPT) (NCD) are the final authorities on points of difference or conflict with current directives (e.g., MILPERSMAN, TRANSMANS, PAYPERSMAN, SDSPROMAN, etc.). The Bureau of Naval Personnel (BUPERS) and Defense Finance and Accounting Service (DFAS) have responsibility for administration and maintenance of these manuals. Requests for any significant deviation from procedures established herein shall be forwarded to the PASS Program Manager (Pers-331) via the major claimant for resolution prior to implementation.

Bureau of Naval Personnel
 Pers-331
 2 Navy Annex
 Washington DC 20370-6620 (100 copies)

Stocked:
 Naval Aviation Supply Office
 ASO Code 103
 5801 Tabor Avenue
 Philadelphia PA 19120-5099 (500 copies)

5. **Administration and Maintenance.** The PASS Program Manager (Pers-331) is assigned responsibility for the administration and maintenance of this manual. Recommendations are

Figure 4-8.—Front section of an instruction.

DEPARTMENT OF THE NAVY
Bureau of Naval Personnel
Washington, DC 20370-5000

BUPERSNOTE 1300
Pers-4010D
21 July 1992

BUPERS NOTICE 1300

From: Chief of Naval Personnel
To: All Ships and Stations (less Marine Corps field addressees not having Navy personnel attached)

Subj: U.S. ANTARCTIC PROGRAM,
OPERATION DEEP FREEZE
WINTERING-OVER PARTY 1993/94

Ref: (a) NAVPERS 15909D, Enlisted Transfer Manual, Chap. 4
(b) OPNAVINST 1160.6A
(c) SECNAVINST 1650.1F
(d) Manual of the Medical Department (MANMED), Chap. 15 Art 64

Encl: (1) Brief Sheet (Detach and use as appropriate, then destroy)

1. **Purpose.** To solicit applications from regular active duty naval personnel to participate in the Navy's support of subject program as members of the U.S. Naval Support Force, Antarctica, Detachment McMurdo, Wintering-over Party. Serious applicants only need apply.

2. **Background.** The U.S. Navy is assigned the task of supporting scientific programs in Antarctica under the supervision of the National Science Foundation. Antarctica, a challenging and arduous tour of duty, provides a test of technological sophistication against the elements of nature. Personnel who meet the qualifications for this unique duty and are willing to accept an adventurous assignment are encouraged to submit their requests as provided in paragraph 6. The best qualified applicants will be selected in December 1992 and will be ordered for appropriate screening/training, in April 1993 (except Damage Controlmen, will transfer in February 1993) to U.S. Naval Support Force, Antarctica, Port Hueneme, California, for deployment to Antarctica in October 1993. The Wintering-over Party will remain in Antarctica until October 1994.

3. **Benefits.** During and upon completion of this challenging and adventurous assignment, the Wintering-over Party will be eligible for the following:

a. Double sea-duty credit (for rotational purposes only) for the time actually spent on the continent of Antarctica.

b. Reassignment options:

(1) If eligible for sea duty, personnel are guaranteed their choice of duty assignment to one of three types of ships, squadrons, or battalions; or one of three homeports on coast of choice. Personnel reassigned to sea duty will not be assigned to deployed units or units scheduled for other than local operations within 3 months of their reporting date, unless such assignment is approved by the Bureau of Naval Personnel (BUPERS) or requested by the individual. Unanticipated schedule changes made after the issuance of a transfer directive are not normally sufficient justification for modification of orders. Personnel with time remaining on their prescribed sea tour (PST) will be reassigned as follows:

(a) 1-6 months: Transfer to shore duty, unless the individual desires to remain on sea duty.

(b) 7 or more months: Transfer to sea duty with projected rotation date (PRD) established at 1 year after reporting on board or completion of PST, whichever is greater.

(2) If eligible for shore duty, personnel are guaranteed one of three Continental United States (CONUS) geographic areas of their choice.

(3) Personnel desiring overseas duty will be given priority consideration provided the eligibility requirements of reference (a) are met.

42NP0047

Figure 4-9.—Front section of a notice.

sequence, in lieu of the instruction they reference. A subject cross-reference sheet is placed in front of those instructions that carry the same subject identification number.

Filing Directives in General Correspondence Files

When copies of directives are needed to complete records, or to support or further document specific actions, they may be filed in the activity's general subject files, pertinent case files (such as contract case files), or other appropriate correspondence files.

Filing Manuals

You should file manuals, such as the *Enlisted Transfer Manual*, (ENLTRANSMAN) and the *Military Personnel Manual* (MILPERSMAN), in a central location. As a PN, you will use these manuals on a daily basis. By being centrally located, these manuals provide you easy access to information that you need. You should not have to go all around the office to obtain them from different locations. Also make sure that all personnel in the office know the whereabouts of their central location.

REVIEWING AND ROUTING DIRECTIVES

When directives are received at your command, make sure you review them before you file them. The purpose of reviewing directives is to make sure you have an idea of the new changes. Since rules, regulations, and procedures are always changing, you need to be thoroughly familiar with these changes. By being familiar with the changes, you will also be more knowledgeable, better informed, and able to answer questions.

In the process of reviewing directives received at your command, it may be necessary to route them to other divisions or departments. If you are in doubt as to whether or not you need to route directives to other divisions, or departments, you should ask your supervisor. If your supervisor tells you that, based on command requirements, some directives are not kept in your office, make sure you know where they can be located. The use of the cross-reference sheets will be appropriate in these cases.

PREPARATION OF DIRECTIVES

We have explained what directives are, how to post basic changes to directives, how to file directives, and

how to review and route directives. Now, we will discuss the ways your command writes local instructions and notices. Command instructions are many and varied. Subjects range from command leave policy to a change-of-command notice. Your command maintains a list of all effective instructions. These instructions are periodically reviewed and updated to conform to Navy policies.

Personnel responsible for drafting instructions and notices or even making changes to them must always refer to the *Department of the Navy Directives Issuance System*, SECNAVINST 5215.1. This instruction establishes the rules and guidelines used to prepare directives.

As you advance in the Navy and become a more senior PN, you may be asked to draft command instructions and notices. Remember, SECNAVINST 5215.1 provides you with the necessary information to perform these important tasks.

Establishment of Navywide directives preparation guidelines ensures the uniformity of format, regardless of type or location of a command.

INVENTORY

Each command should consult the *Department of the Navy Directives Issuance System Consolidated Subject Index*, DPSINST 5215.1, along with respective type commander (TYCOM) instructions to ensure the command has the required directives and publications. An inventory of all command directives and publications should be conducted annually or upon receipt of the appropriate 5215 notices. To obtain any missing or out-of-date directives or publications, consult the respective 5215 notice.

MESSAGES

This section contains a brief discussion about messages. In particular, types of messages, PRO FORMA messages, and message format are discussed. Whenever you are tasked to prepare a message, you should always refer to the *Naval Telecommunications Procedures*, *Telecommunication Users Manual*, NTP 3(I), or other pertinent publications.

Messages used to be typed by YNs and PNs on message forms. Now they are typed in the same format, but are prepared on a computer and saved out to a disk. These disks are delivered and picked up from the communications center.

Refer to the glossary section of this TRAMAN when answering some of the questions in your nonresident training course as you will be asked about certain terminology that deals with messages.

GENERAL INFORMATION ABOUT MESSAGES

There are four types of classified and unclassified narrative messages—single-address, multiple-address, book and general message.

Single-Address Messages

A message that has only one addressee, either action (TO) or information (INFO), is a single-address message.

Multiple-Address Messages

A message that has two or more addressees, whether action or information, and is of such a nature the drafter considers that each addressee should know the other recipients, is a multiple-address message.

Book Messages

A message that is destined for two or more addressees but is of such a nature the drafter considers that no addressee need or should be informed of the other addressee(s); for example, a commercial contract bid is a book message.

General Messages

General messages are designed to meet recurring requirements for the dissemination of information to a wide, predetermined standard distribution. General messages are titled ALCOM, ALMILACT, NAVOP, and so forth. Because the title indicates the distribution, it serves as the address designator in the address line of the message heading.

To attain uniformity of format with joint procedures, general messages are assigned, following the general message title, a consecutive three-digit serial number followed by a single slant and the last two digits of the current calendar year; for example, ALCOM 012/95. The general message title and number/year stand alone on the line after the classification and before the MSGID set.

Pro Forma Message

A PRO FORMA message is one that uses defined data fields that are both man-readable and machine processable.

This type of message is identified in the publication, instruction, or directive establishing the message requirement.

An example of a pro forma message is a GUARD III request as reflected in chapter 8 of the *Enlisted Transfer Manual* (ENLTRANSMAN), NAVPERS 15909E. Another example of a pro forma message is the selective reenlistment bonus (SRB) request.

MESSAGE FORMAT

General Administrative (GENADMIN) is the U.S. Message Text Format (USMTF) used for most narrative messages, with the only exceptions being those narrative messages for which a publication, instruction, or other directive requires a different format. Annex C of the NTP 3(I) provides rules and general instructions for preparing the GENADMIN message format.

GENADMIN cannot be used on some messages, such as class E, short form readdressals, tracer messages, service messages, any message required by a non-Department of Navy authoritative publication, directive, or instruction.

PNs and YNs deliver message disks as previously discussed.

MUSTER OF PERSONNEL AND MUSTER REPORTS

According to Article 0808 of the *United States Navy Regulations* – 1990, the commanding officer must account for all personnel attached to the command daily. Persons who have not been sighted by a responsible senior must be reported as being absent.

Commands account for personnel by completing a muster report. The muster report is a locally generated report used to account for all personnel attached to the command. This report indicates the status of personnel, such as personnel who are on unauthorized absence (UA), deserters, sick call, leave, and/or TAD. This report must be accurate.

When tasked to prepare this report, you must make sure that you verify all the information. If you have questions about a department's submitted muster report, you must contact a responsible individual to

obtain accurate information or to clear any questions you may have as soon as possible.

In addition to preparing a muster report daily, there may be other occasions when the commanding officer may require accurate and complete information concerning the presence of all personnel. If you are serving aboard a ship, and the ship is scheduled to get under way at 1700 on a particular day, the need to account for all personnel is very important. All departments should submit accurate muster reports to the personnel office to account for all personnel aboard. Personnel who are not aboard must be reported via diary message according to the *Diary Message Reporting System Users' Manual (DMRSMAN)*, EPMAC, New Orleans, LA, Document No. 1080#1 UM-01A. Subsequently, a command muster report should be prepared for the commanding officer and for administrative record purposes.

If you are aboard a ship and the ship is at sea and the officer of the deck announces a man overboard, the need to receive accurate and complete information from the different departments concerning the accountability of all personnel is of paramount importance. If your command requires that you prepare a muster report, it must be accurate and complete. There is no room for a mistake.

You should maintain a neat file of all previously prepared muster reports. Keep muster reports for at least 2 years unless your command requires them to be kept for a longer period. The muster reports file must be accessible to all personnel who have the need to know. You should also make sure that you distribute copies of the muster report to all individuals, divisions, or departments concerned. Always follow local practices and procedures established for the preparation, maintenance, and distribution of these reports.

Now, turn your attention to case file establishment and maintenance.

CASE FILE ESTABLISHMENT AND MAINTENANCE

The establishment and maintenance of case files in a personnel or administrative office is necessary. All commands maintain case files. However, how complete do you think those files are? Sadly, in many cases, the files are not maintained properly or completely. Many do not contain sufficient information to respond to inquiries.

Case files should contain as much information as possible. There are many occasions when you have to refer to those case files to respond to inquiries. In most instances, you find that copies of some of the documents that were supposed to have been kept as part of the packet, and are necessary for a response, are not on file.

The need to maintain accurate and complete case files cannot be overstated. Always keep excellent case files for future reference. Whether you are responsible for typing letters, orders, or any other documents, remember it is always better to keep too much information about an event than not enough.

SUMMARY

After reading this chapter, you should know what a standard letter, a multiple-address letter, a business letter, an endorsement, and a memorandum are. You should be able to determine when it is appropriate to serialize standard letters. You should be able to understand and differentiate the logs that are kept for accounting for incoming and outgoing correspondence. You should be able to identify some of the duties and responsibilities of personnel involved with the handling of correspondence, especially classified correspondence.

You should be able to understand the duties and responsibilities of mail clerks and mail orderlies, their qualifications, their training requirements, and the overall importance and accountability of all U.S. mail.

You should know what a routine reply, endorsement, transmittal or information sheet is and when its use is appropriate.

You should understand directives, be able to differentiate between the terms *notices* and *instructions*, understand the filing arrangements of directives, identify the instruction that is used to prepare directives, and identify the instruction that shows what directives your command should have.

You should be able to identify the four types of messages, pro forma, and some terminology associated with messages as reflected in the glossary of this training manual.

You should understand what a muster report is and its importance to a command.

You should also be able to understand the importance of establishing and maintaining good case files at your command, since they contain the records used in answering inquiries, or in general contain information of future reference value.